

RECEIVED
CENTRAL FAX CENTER

OCT 05 2006

**HAMRE, SCHUMANN,
MUELLER & LARSON, P.C.**
AN INTERNATIONAL INTELLECTUAL PROPERTY LAW FIRM

FAX TRANSMISSION

October 5, 2006

TO:

Examiner: Hoai V Pham
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

FROM: Douglas P. Mueller

OUR REF: 10873.0871USD1

TELEPHONE: (612) 455.3800

Total pages, including cover letter: 33

PTO FAX NUMBER: 571.273.8300

If all pages are NOT received, please call us at 612.455.3800 or fax us at 612.455.3801.

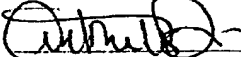
Title of Document: **Supplemental Information Disclosure Statement, Form 1449,
2 references, Japanese Office Action**Applicant: SHIBATA
Serial No.: 10/756,961
App. Filed: January 13, 2004
Group Art No.: 2814
Conf. No.: 4810

Please charge Deposit Account No. 50-3478 in the amount of \$180 for Supplemental Information Disclosure Statement after Final Office Action. Please charge any additional fees or credit overpayment to Deposit Account No. 50-3478. Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers, if appropriate.

By: Name: Douglas P. Mueller
Reg. No. 30,300

I hereby certify that this paper is being transmitted by facsimile to the U.S. Patent and Trademark Office on the date shown below.

Antoinette C. Peters


Signature

Date

October 5, 2006

NOT A VALID COPY

RECEIVED
CENTRAL FAX CENTER

OCT 05 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: SHIBATA
Serial No.: 10/756,961
Filed: January 13, 2004
Title: SEMICONDUCTOR MEMORY DEVICE WITH TRENCH-TYPE
STACKED CELL CAPACITORS AND METHOD FOR
MANUFACTURING THE SAME

Examiner: Hoai V Pham
Group Art Unit: 2814
Docket: 10873.0871USD1

CERTIFICATE UNDER 37 CFR 1.6(d): I hereby certify that this paper is being transmitted by facsimile to the U.S. Patent and Trademark Office on October 5, 2006.

By: 
Name: Antonette Peters

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Commissioner:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner. Copies of any foreign patent documents or "Other Documents" are enclosed. A copy of the Japanese Office action, mailed September 5, 2006, for the corresponding Japanese, is transmitted herewith.

In accordance with the provisions of 37 C.F.R. §1.97, this statement is being filed (CHECK ONE):

- ☐ (1) within three (3) months of the Filing Date, before the mailing date of a First Office Action on the merits, or before the mailing date of a First Office Action on the merits after the filing of a request for continued examination under 37 C.F.R. §1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a Final Rejection or Notice of Allowance, and
- ☐ the requisite Statement is below, OR
- ☐ the requisite fee of \$180.00 under Rule 1.17(p) is included herein, or
- ☒ (3) after the mailing date of a Final Rejection or Notice of Allowance but on or before the payment of the Issue Fee, AND

10/05/2006 TL0111 00000053 503470 10755961
01 FC:1006 100.00 DA

RECEIVED
CENTRAL FAX CENTER

OCT 05 2006

- ☒ the requisite Statement is below, AND
- ☒ the requisite fee of \$180.00 under Rule 1.17(p) is included herein.

STATEMENT

As required under §1.97(e), Applicants hereby state either that:

- ☒ 1. Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the Information Disclosure Statement.
- ☒ If this box is checked, Applicant provides the following:

Certification Under 37 C.F.R. §1.704(d)

In accordance with 37 C.F.R. §1.704(d), the undersigned hereby certifies that each item listed on the enclosed Form 1449 was first cited in a communication from a foreign patent office in a counterpart application, and that this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty (30) days prior to the filing of this Information Disclosure Statement.

- ☐ The Examiner is hereby advised of the following co-pending U.S. applications. A copy of each U.S. patent application publication (if published) or application (if not published) is enclosed.

<u>Application No.</u>	<u>Filing Date</u>	<u>Group</u>
------------------------	--------------------	--------------

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

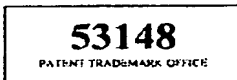
RECEIVED
CENTRAL FAX CENTER

OCT 05 2006

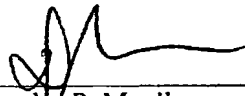
FEE AUTHORIZATION

Should any fee associated with the submission of this paper not be attached hereto as a check, the Commissioner is authorized to charge the missing fee to our Deposit Account, No. 50-3478. Any overpayments should be credited to said Deposit Account.

Respectfully submitted,



HAMRE, SCHUMANN, MUELLER &
LARSON, P.C.
Post Office Box 2902
Minneapolis, MN 55402-0902
(612) 455-3800

Dated: October 5, 2006By: 
Douglas P. Mueller
Reg. No. 30,300

DPM:acp

OCT 05 2006

Date Mailed: October 5, 2006

Sheet 1 of 1

FORM 1449* INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION (Use several sheets if necessary)	Docket Number: 10873.0871USD1	Application Number: 10/756.961
	Applicant: SHIBATA	
	Filing Date: January 13, 2004	Group Art Unit 2814

U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS							
	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	JP 2000-164545	06/2000	Japan			Abstract & Partial	
	JP 9-283719	10/1997	Japan			Abstract & Partial	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
		Japanese Office Action for the corresponding Japanese application: 2001-379689, mailed September 5, 2006

53148

PATENT TRADEMARK OFFICE

EXAMINER	DATE CONSIDERED
EXAMINER Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	

*Substitute Disclosure Statement Form (PTO-1449)

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE